

## CLAIM LISTING

1. (Original) A method for tracking the routing of an electronic document, comprising:
  - embedding a unique identifier within an electronic document; and
  - monitoring e-mail messages transmitted from senders to recipients, for detection of e-mail messages having the electronic document embedded therewithin or attached thereto, based on the unique identifier.
2. (Original) The method of claim 1 wherein the electronic document is a Microsoft Word document.
3. (Original) The method of claim 1 wherein the electronic document is a Microsoft Excel spreadsheet.
4. (Original) The method of claim 1 wherein the electronic documents is a Microsoft PowerPoint presentation.
5. (Original) The method of claim 1 wherein the electronic document is an Adobe PDF document.
6. (Original) The method of claim 1 wherein the electronic document is an HTML document.
7. (Original) The method of claim 1 wherein the electronic document is an XML document.
8. (Currently Amended) The method of claim 1 further comprising logging a recipient of an e-mail message having the electronic document embedded therewithin or attached thereto, in an audit record, when said monitoring detects the e-mail message, wherein the audit record stores information identifying a distribution route of the electronic document.

9. (Currently Amended) The method of claim [[8]] 1 further comprising logging a sender of an e-mail message having the electronic document embedded therewithin or attached thereto, in an audit record, when said monitoring detects the e-mail message, wherein the audit record stores information identifying a distribution route of the electronic document.

10. (Currently Amended) The method of claim [[9]] 1 further comprising logging a date and time of transmission of an e-mail message having the electronic document embedded therewithin or attached thereto, in an audit record, when said monitoring detects the e-mail message, wherein the audit record stores information identifying a distribution route of the electronic document.

11. (Currently Amended) The method of claim [[10]] 1 further comprising generating a tracking report from audit records[[,]] corresponding to at least one specified electronic document, wherein the audit records each stores information identifying a distribution route of the specified electronic document.

12. (Currently Amended) The method of claim [[10]] 1 further comprising generating a tracking report from audit records[[,]] corresponding to at least one specified user, wherein the audit records each stores information identifying a distribution route of an electronic document.

13. (Currently Amended) The method of claim [[10]] 1 further comprising generating a tracking report from [[the]] audit records[[,]] corresponding to a specified time period, wherein the audit records each stores information identifying a distribution route of electronic documents during.

14. (Currently Amended) The method of claim 1 further comprising logging [[the]] a most recent file name of a file storing the electronic document, in an audit record, when said monitoring detects an e-mail message having the electronic document embedded therewithin or attached thereto, wherein the audit record stores information identifying a distribution route of the electronic document.

15. (Original) The method of claim 1 wherein said monitoring comprises authenticating the unique identifier.

16. (Original) The method of claim 15 further comprising issuing a notification if said authenticating fails to authenticate the unique identifier.

17. (Original) The method of claim 1 further comprising:  
examining an access control policy to determine whether or not permission is granted to transmit the electronic document to a recipient of an e-mail message having the electronic document embedded therewithin or attached thereto; and  
causing transmission of the e-mail message to the recipient to be blocked, if said examining determines that permission is not granted.

18. (Original) The method of claim 17 further comprising issuing a notification about said causing to be blocked.

19. (Currently Amended) A system for tracking the routing of an electronic document, the system comprising one or more tangible computer-readable media collectively storing instructions encoding comprising:

an auto-marker auto-marking module for embedding a unique identifier within an electronic document; and  
a traffic monitor for monitoring e-mail messages transmitted from senders to recipients, and for detecting e-mail messages having the electronic document embedded therewithin or attached thereto, based on the unique identifier.

20. (Original) The system of claim 19 wherein the electronic document is a Microsoft Word document.

21. (Original) The system of claim 19 wherein the electronic document is a Microsoft Excel spreadsheet.

22. (Original) The system of claim 19 wherein the electronic document is a Microsoft PowerPoint presentation.

23. (Original) The system of claim 19 wherein the electronic document is an Adobe PDF document.

24. (Original) The system of claim 19 wherein the electronic document is an HTML document.

25. (Original) The system of claim 19 wherein the electronic document is an XML document.

26. (Currently Amended) The system of claim 19 wherein the one or more media further store instructions encoding further comprising an auditor for logging a recipient of an e-mail message having the electronic document embedded therewithin or attached thereto, in an audit record, when said traffic monitor detects the e-mail message, wherein the audit record stores information identifying a distribution route of the electronic document.

27. (Currently Amended) The system of claim 19 [[26]] wherein the one or more media further store instructions encoding further comprising an auditor for logging a sender of an e-mail message having the electronic document embedded therewithin or attached thereto, in an audit record, when said traffic monitor detects the e-mail message, wherein the audit record stores information identifying a distribution route of the electronic document.

28. (Currently Amended) The system of claim 19 [[27]] wherein the one or more media further store instructions encoding further comprising an auditor for logging a date and time of transmission of an e-mail message having the electronic document embedded therewithin or attached thereto, in an audit record, when said traffic monitor detects the e-mail message, wherein the audit record stores information identifying a distribution route of the electronic document.

29. (Currently Amended) The system of claim 19 [[28]] wherein the one ore more media further store instructions encoding further comprising a reporter for generating a tracking report from audit records[[,]] corresponding to at least one

specified electronic document, wherein the audit records each stores information identifying a distribution route of the specified electronic document.

30. (Currently Amended) The system of claim 19 [[28]] wherein the one or more media further store instructions encoding further comprising a reporter for generating a tracking report from audit records[[],]] corresponding to at least one specified user, wherein the audit records each stores information identifying a distribution route of the electronic document.

31. (Currently Amended) The system of claim 19 [[28]] wherein the one or more media further store instructions encoding further comprising a reporter for generating a tracking report from audit records[[],]] corresponding to a specified time period, wherein the audit records each stores information identifying a distribution route of the electronic document.

32. (Currently Amended) The system of claim 19 wherein the one or more media further store instructions encoding further comprising an auditor for logging the most recent file name of a file storing the electronic document, in an audit record, when said traffic monitor detects an e-mail message having the electronic document embedded therewithin or attached thereto, wherein the audit record stores information identifying a distribution route of the electronic document.

33. (Currently Amended) The system of claim 19 wherein the one or more media further store instructions encoding further comprising a scanner for authenticating the unique identifier.

34. (Currently Amended) The system of claim 19 [[33]] wherein the one or more media further store instructions encoding further comprising a notifier for issuing a notification if said authenticating fails to authenticate the unique identifier.

35. (Currently Amended) The system of claim 19 wherein the one or more media further store instructions encoding: further comprising:  
a policy manager for examining an access control policy to determine whether or not permission is granted to transmit the electronic document to a recipient of an

e-mail message having the electronic document embedded therewith or attached thereto; and

a policy enforcer for causing transmission of the e-mail message to the recipient to be blocked, if said policy manager determines that permission is not granted.

36. (Currently Amended) The system of claim 35 wherein the one or more media further store instructions encoding further comprising a notifier for issuing a notification about said policy enforcer causing transmission of the e-mail message to be blocked.

37. (Canceled)

38. (Original) A method for tracking the routing of an electronic document, comprising:

embedding a unique identifier within an electronic document; and  
monitoring transmitted network packets, for detection of network packets containing the electronic document, based on the unique identifier.

39. (Currently Amended) The method of claim 38 further comprising logging an audit record of the transmission, when a network packet containing the electronic document is detected by said monitoring, wherein the audit record stores information identifying a distribution route of the electronic document.

40. (Original) The method of claim 39 wherein said logging includes logging a date and time of the transmission in the audit record.

41. (Original) The method of claim 39 wherein said logging includes logging a destination of the transmission in the audit record.

42. (Original) The method of claim 38 wherein said monitoring monitors networks packets transmitted internally within an organization network.

43. (Original) The method of claim 38 wherein said monitoring monitors networks packets transmitted from within an organization network to outside of the organization network.

44. (Original) The method of claim 38 wherein said monitoring monitors networks packets transmitted to an organization network from outside of the organization network.

45. (Original) The method of claim 38 wherein the network packets are transmitted in response to an FTP download.

46. (Original) The method of claim 38 wherein the network packets are transmitted in response to an HTTP download.

47. (Original) The method of claim 38 wherein the network packets are transmitted in response to an Instant Messenger download.

48. (Currently Amended) A system for tracking the routing of an electronic document, the system comprising one or more tangible computer readable media collectively storing instructions encoding: comprising:

an auto-marker an auto-marking module for embedding a unique identifier within an electronic document; and

a traffic monitor for monitoring transmitted network packets, and for detection of network packets containing the electronic document, based on the unique identifier.

49. (Currently Amended) The system of claim 48 wherein the one or more media further store instructions encoding further comprising an auditor for logging transmission information in an audit record of the transmission when a network packet containing the electronic document is detected by said traffic monitor, wherein the audit record stores information identifying a distribution route of the electronic document.

50. (Currently Amended) The system of claim 49 wherein said auditor logs a date and time of the network packet's transmission ~~of the transmission~~ in the audit record.

51. (Currently Amended) The system of claim 49 wherein said auditor logs a destination for the network packet ~~of the transmission~~ in the audit record.

52. (Original) The system of claim 48 wherein said traffic monitor monitors networks packets transmitted internally within an organization network.

53. (Original) The system of claim 48 wherein said traffic monitor monitors networks packets transmitted from within an organization network to outside of the organization network.

54. (Original) The system of claim 48 wherein said traffic monitor monitors networks packets transmitted to an organization network from outside of the organization network.

55. (Original) The system of claim 48 wherein the network packets are transmitted in response to an FTP download.

56. (Original) The system of claim 48 wherein the network packets are transmitted in response to an HTTP download.

57. (Original) The system of claim 48 wherein the network packets are transmitted in response to an Instant Messenger download.

58. (Canceled)

59. (Original) A method for controlling distribution of an electronic document within computer networks, comprising:

intercepting e-mail messages being transmitted from senders to recipients;  
scanning the intercepted e-mail messages for detection of a specified electronic document embedded therein or attached thereto;

examining a policy to determine whether or not transmission of the document to a recipient is permitted, if said scanning detects an e-mail message having the electronic document embedded therein or attached thereto; and

causing transmission of the document to the recipient to be blocked, if said examining determines that transmission is not permitted.

60. (Original) The method of claim 59 wherein said scanning detects the electronic document based on a unique identifier embedded therewithin.

61. (Original) The method of claim 59 wherein the policy indicates recipients permitted to access the electronic document.

62. (Original) The method of claim 59 wherein the policy indicates recipients not permitted to access the electronic document.

63. (Original) The method of claim 59 wherein the policy indicates senders permitted to send the electronic document.

64. (Original) The method of claim 59 wherein the policy indicates senders not permitted to send the electronic document.

65. (Original) The method of claim 59 further comprising issuing a notification, if said examining determines that transmission is not permitted.

66. (Currently Amended) The method of claim 59 further comprising generating an audit record to record transmission of the electronic document via an e-mail message, if said examining determines that transmission is permitted, wherein the audit record stores information identifying a distribution route of the electronic document.

67. (Currently Amended) A system for controlling distribution of an electronic document within computer networks, the system comprising one or more tangible computer-readable media collectively storing instructions encoding comprising:

a traffic monitor for intercepting e-mail messages being transmitted from senders to recipients;

a scanner for scanning the intercepted e-mail messages, and for detecting a specified electronic document embedded therein or attached thereto;

a policy manager for examining a policy to determine whether or not transmission of the document to a recipient of an e-mail message is permitted; and

a policy enforcer for causing transmission of the document to the recipient to be blocked.

68. (Original) The system of claim 67 wherein said scanner detects the electronic document based on a unique identifier embedded therewithin.

69. (Original) The system of claim 67 wherein the policy indicates recipients permitted to access the electronic document.

70. (Original) The system of claim 67 wherein the policy indicates recipients not permitted to access the electronic document.

71. (Original) The system of claim 67 wherein the policy indicates senders permitted to send the electronic document.

72. (Original) The system of claim 67 wherein the policy indicates senders not permitted to send the electronic document.

73. (Currently Amended) The system of claim 67 wherein the one or more media further store instructions encoding further comprising a notifier for issuing a notification, if said examining determines that transmission is not permitted.

74. (Currently Amended) The system of claim 67 wherein the one or more media further store instructions encoding further comprising an auditor for generating an audit record, to record transmission of the electronic document via an e-mail message, if said policy manager determines that transmission is permitted, wherein the audit record stores information identifying a distribution route of the electronic document.

75. (Canceled)

76. (Original) A method for controlling distribution of an electronic document within computer networks, comprising:

- intercepting network packets transmitted over a computer network;
- scanning the intercepted network packets for detection of network packets containing a specified electronic document;
- examining a policy to determine whether or not transmission of the specified electronic document is permitted, if said scanning detects a network packet containing the specified electronic document; and
- causing transmission of the document to be blocked, if said examining determines that transmission is not permitted.

77. (Original) The method of claim 76 wherein said scanning detects the specified electronic document based on a unique identifier embedded therewithin.

78. (Original) The method of claim 76 wherein the policy indicates recipients permitted to access the specified electronic document.

79. (Original) The method of claim 76 wherein the policy indicates recipients not permitted to access the specified electronic document.

80. (Original) The method of claim 76 wherein the network packets are transmitted in response to an FTP download.

81. (Original) The method of claim 76 wherein the network packets are transmitted in response to an HTTP download.

82. (Original) The method of claim 76 wherein the network packets are transmitted in response to an Instant Messenger download.

83. (Currently Amended) A system for controlling distribution of an electronic document within computer networks, the system comprising one or more tangible computer-readable media collectively storing instructions encoding: comprising:

a traffic monitor for intercepting network packets transmitted over a computer network;

a scanner for scanning the intercepted network packets and for detecting network packets containing a specified electronic document;

a policy manager for examining a policy to determine whether or not transmission of the specified electronic document is permitted; and

a policy enforcer for causing transmission of the document to be blocked.

84. (Original) The system of claim 83 wherein said scanner detects the specified electronic document based on a unique identifier embedded therewithin.

85. (Original) The system of claim 83 wherein the policy indicates recipients permitted to access the specified electronic document.

86. (Original) The system of claim 83 wherein the policy indicates recipients not permitted to access the specified electronic document.

87. (Original) The system of claim 83 wherein the network packets are transmitted in response to an FTP download.

88. (Original) The system of claim 83 wherein the network packets are transmitted in response to an HTTP download.

89. (Original) The system of claim 83 wherein the network packets are transmitted in response to an Instant Messenger download.

90. (Canceled)